

EXHIBIT 1

**FINANCIAL INDUSTRY REGULATORY AUTHORITY
OFFICE OF HEARING OFFICERS**

DEPARTMENT OF ENFORCEMENT,

Complainant,

v.

ALPINE SECURITIES CORP.
(CRD No. 14952),

Respondent.

Disciplinary Proceeding
No. 2019061232601

Hearing Officer– CC

ORDER CONVERTING HEARING TO VIDEOCONFERENCE

The hearing in this matter is currently scheduled to resume on November 30, 2020.¹ Because of the COVID-19 pandemic, the feasibility and safety of a traditional in-person hearing, with participants gathered at a single location, is uncertain.

The outbreak of COVID-19 has disrupted critical adjudicatory functions nationwide due to the serious public health risks it poses in connection with conducting in-person hearings. In order to comply with the guidance of public health authorities and to ensure the safety and well-being of parties, counsel, adjudicators, witnesses, court reporters, and FINRA personnel, FINRA administratively postponed in-person disciplinary hearings for more than five months—from March 16 through October 2, 2020. While FINRA’s ultimate goal is to resume in-person hearings, doing so in a manner that is compliant with the current guidance of public health authorities is a logistically complex and challenging process.

On August 31, 2020, FINRA filed a proposed temporary rule change for immediate effectiveness. The temporary amendments in SR-FINRA-2020-027 to FINRA Rules 9261 and 9830, among others, are now operative and are in effect through December 31, 2020, pending any future extensions. These temporary amendments allow hearings in connection with disciplinary actions and permanent cease and desist orders, if warranted by the current COVID-19-related public health risks posed by an in-person hearing, to be conducted by videoconference instead of gathering participants in one physical location. The temporary amendment to Rule 9261 grants FINRA’s Chief Hearing Officer and Deputy Chief Hearing Officer authority to determine that a hearing will proceed, in whole or in part, by videoconference.

¹ Previously, the parties participated in approximately ten days of hearing.

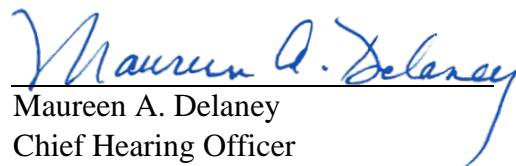
Accordingly, after considering the guidance of FINRA's health and safety consultant in conjunction with COVID-19 data and guidance issued by public health authorities, I order that the in-person hearing in this matter, scheduled to commence on November 30, 2020, proceed by videoconference.² The hearing dates and all remaining due dates identified in the Case Management and Scheduling Order (or later orders modifying those dates) continue unchanged.

As set forth in SR-FINRA-2020-027, FINRA's protocol for conducting hearings by videoconference ensures that the hearings maintain a fair process for the parties. Videoconference hearings afford the parties and adjudicators simultaneous visual and oral communication without the risks of individuals being physically close to one another. The Office of Hearing Officers ("OHO") uses high-quality, secure videoconferencing technology with features that allow the parties to reasonably approximate those tasks that are typically performed at an in-person hearing, such as sharing documents, marking documents, and utilizing breakout rooms. OHO will provide training for participants on how to use the videoconferencing platform and detailed guidance on the procedures that will govern the hearing. OHO will also provide assistance to participants to ensure that they are adequately prepared to use the videoconferencing software by conducting a hearing rehearsal for the parties in advance of the hearing date. Furthermore, the OHO Case Administrator assigned to this case will participate in the videoconference hearing to ensure that participants have adequate support during the hearing.

OHO has published information on the security features of its videoconference hearing process at <https://www.finra.org/rules-guidance/key-topics/covid-19/ohe-hearings>. OHO also provides an online [Virtual Hearing Guide for Parties](#).

Questions regarding this order may be directed to the Case Administrator, April Blackwood, at 202-728-8202 or april.blackwood@finra.org.

SO ORDERED.


Maureen A. Delaney
Chief Hearing Officer

Dated: November 2, 2020

² This Order is also based on (i) state and county virus trends and hospitalization rates at or around the hearing location and the locations from where hearing participants will travel; (ii) national, state, and local orders addressing COVID-19; (iii) risks posed by requiring hearing participants to travel by air, use public transportation, and stay in hotels; and (iv) the increased risk of exposure based on the length of the hearing or number of hearing participants.

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